

09/980606

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15 NOV 2001 #2

PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

EXPRESS MAIL NO. EL717377634US

Applicant : Manabu Yamada, et al.  
Application No. : N/A  
Filed : November 15, 2001  
Title : OPTICAL WAVEGUIDE MODULATOR EQUIPPED  
WITH AN OUTPUT LIGHT MONITOR  
Grp./Div. : N/A  
Examiner : N/A  
Docket No. : 45923/DBP/A400

INFORMATION DISCLOSURE STATEMENT  
37 CFR § 1.97(b)

Assistant Commissioner for Patents  
Washington, D.C. 20231

Post Office Box 7068  
Pasadena, CA 91109-7068  
November 15, 2001


Commissioner:

In compliance with the duty of disclosure under 37 CFR §§ 1.56, 1.97 and 1.98, and in accordance with the provisions in the Manual of Patent Examining Procedure §§ 609 and 707.05(b), enclosed is FORM PTO-1449 listing the references that are known to applicant. Copies of each of the listed references are enclosed. Also enclosed is a copy of the International Search Report. This filing is timely because it is made during one of the periods described in 37 CFR § 1.97(b).

It is respectfully requested that the listed references be considered in the examination of this application and identified on the list of references cited on the patent issuing for this application. Applicant also requests that an initialed copy of FORM PTO-1449 be entered in the application file and returned to applicant with the next communication from the Office in accordance with MPEP § 609.

Respectfully submitted,  
CHRISTIE, PARKER & HALE, LLP

By

  
D. Bruce Prout  
Reg. No. 20,958  
626/795-9900

DBP/aam

Enclosures: PTO-1449, w/references, and ISR

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FORM PTO-1449

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

|                               |                       |
|-------------------------------|-----------------------|
| <b>Attorney Docket Number</b> | 45923/DBP/A400        |
| <b>Application Number</b>     | N/A                   |
| <b>Filing Date</b>            | November 15, 2001     |
| <b>Applicant(s)</b>           | Manabu Yamada, et al. |
| <b>Group Art Unit</b>         | N/A                   |
| <b>Examiner Name</b>          | N/A                   |

**U.S. PATENT DOCUMENTS**

| EXAMINER<br>INITIALS | DOCUMENT<br>NUMBER | ISSUE<br>DATE | PATENTEE | CLASS | SUBCLASS | FILING DATE<br>IF APPROPRIATE |
|----------------------|--------------------|---------------|----------|-------|----------|-------------------------------|
|                      |                    |               |          |       |          |                               |
|                      |                    |               |          |       |          |                               |
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|                      |                    |               |          |       |          |                               |
|                      |                    |               |          |       |          |                               |
|                      |                    |               |          |       |          |                               |

**FOREIGN PATENT DOCUMENTS**

| EXAMINER<br>INITIALS | DOCUMENT<br>NUMBER | PUBLICATION<br>DATE | COUNTRY OR<br>PATENT OFFICE | CLASS | SUBCLASS | TRANSLATION |    |
|----------------------|--------------------|---------------------|-----------------------------|-------|----------|-------------|----|
|                      |                    |                     |                             |       |          | YES         | NO |
|                      | 60-63822           | 05/1985             | Japan                       |       |          |             | X  |
|                      | 4-24610            | 01/1992             | Patent Abstract of Japan    |       |          |             |    |
|                      | 4-24610            | 01/1992             | Japan                       |       |          |             |    |
|                      | 3-145623           | 06/1991             | Patent Abstract of Japan    |       |          |             |    |
|                      | 3-145623           | 06/1991             | Japan                       |       |          |             |    |
|                      | 1-267515           | 10/1989             | Patent Abstract of Japan    |       |          |             |    |
|                      | 1-267515           | 10/1989             | Japan                       |       |          |             |    |
|                      | 2-165117           | 06/1990             | Patent Abstract of Japan    |       |          |             |    |
|                      | 2-165117           | 06/1990             | Japan                       |       |          |             |    |
|                      | 5-100194           | 04/1993             | Patent Abstract of Japan    |       |          |             |    |
|                      | 5-100194           | 04/1993             | Japan                       |       |          |             |    |
|                      | 9-79861            | 03/1997             | Patent Abstract of Japan    |       |          |             |    |
|                      | 9-79861            | 03/1997             | Japan                       |       |          |             |    |

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|-----------------------|--|--------------------|--|
| EXAMINER<br>SIGNATURE |  | DATE<br>CONSIDERED |  |
|-----------------------|--|--------------------|--|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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FORM PTO-1449

**INFORMATION DISCLOSURE****STATEMENT BY APPLICANT**

(use as many sheets as necessary)

**Attorney Docket Number** 45923/DBP/A400

Application Number N/A

Filing Date November 15, 2001

Applicant(s) Manabu Yamada, et al.

Group Art Unit N/A

Examiner Name N/A

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|----------------------|--------------------|---------------------|-----------------------------|-------|----------|-------------|----|
|                      |                    |                     |                             |       |          | YES         | NO |
|                      | 5-346395           | 12/1993             | Patent Abstract of Japan    |       |          |             |    |
|                      | 5-346395           | 12/1993             | Japan                       |       |          |             |    |
|                      |                    |                     |                             |       |          |             |    |
|                      |                    |                     |                             |       |          |             |    |
|                      |                    |                     |                             |       |          |             |    |

**OTHER DOCUMENTS**

| EXAMINER<br>INITIALS | Include name of the author (in CAPITAL LETTERS), title of the article, title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. |
|----------------------|--|
|                      | International Search Report for PCT/JP01/02073. International Searching Authority Japanese Patent Office. Date of International Search Report April 12, 2001   |
|                      |  |
|                      |  |

| EXAMINER<br>SIGNATURE  | DATE<br>CONSIDERED |
|--|--------------------|
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